

**THE NAVAL SURFACE WARFARE CENTER  
CARDEROCK DIVISION QUALITY PROCEDURES**

Title:  <b>Data and Document Control</b>	Number: <b>00-0000-052-01</b>	Revision Number: <b>4</b>	Effective Date: <b>6/15/96</b>
	Prepared by: <b>Sondra D. Gutkind</b>	Approved by: <b>Sondra D. Gutkind</b>	Page : <b>1 of 7</b>

## 5.0 PURPOSE

To address requirements for documents and data control, including requirements about documents of external origin as applicable.

## 5.1 SCOPE

This procedure applies to all controlled documentation utilized by the Pilot Programs. Controlled documentation includes:

Tier I: Division Quality Manual

Tier II: Division Quality Procedures

Tier III: Pilot Program *Quality* Procedures

Tier IV: Pilot Program Work Instructions

Tier V: Applicable external documents, internal/external engineering drawings, specifications, etc.

## 5.2 RESPONSIBILITY

5.2.1 Division ISO Program Manager (***DISOPM***) or designee is responsible for control and issue of:

5.2.1.1 Quality Policy Manual

5.2.1.2 Division Quality Procedures

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5.2.2 Pilot Program Department Heads or designees are responsible for the control and issue of:

5.2.2.1 Division Quality Manual and Division Quality Procedures within the Pilot Programs.

5.2.2.2 Pilot Program *quality* procedures.

5.2.2.3 *Pilot Program* Work instructions.

5.2.2.4 External documents, engineering drawings, specifications, etc.

### 5.3 PROCEDURE

#### 5.3.1 Identification

5.3.1.1 All documents are normally identified by their title *and/or* number, date of issue, revision level, issuing authority, and authorized approval signature, as appropriate.

*5.3.1.1.1 The number is not relevant for the Division Quality Manual.*

*5.3.1.1.2 The number and revision level are not relevant for the Division Procedures Number Log and the Division System's Approval Document.*

5.3.1.2 A controlled document is one that is given a name and/or identifying number, assigned to appropriate personnel, and kept up to date by authorized personnel. Controlled documents are identified on Division and Pilot Program Master Lists.

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**5.3.1.3 *Uncontrolled Documents***

**5.3.1.3.1** *A document is considered uncontrolled when it is issued to personnel and/or outside parties who are not affected by that document and/or who are not listed on the controlled distribution list.*

**5.3.1.3.2** *These documents are marked by various means as uncontrolled and are provided as information only.*

**5.3.1.3.3** An uncontrolled document is only considered current at the time it is distributed.

**5.3.1.3.4** Uncontrolled copies are not followed up with revisions.

**5.3.1.4 *Obsolete Documents***

**5.3.1.4.1** *Any obsolete documents retained for legal and/or knowledge preservation purposes are suitably identified.*

**5.3.2 Establishment of Initial Issues and Revisions**

**5.3.2.1** The initiative to establish a new document, or revise an existing document can be taken by any employee working under the quality system in this Division.

**5.3.2.2** The employee initiating a document or revision submits a draft through his or her chain of command.

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*5.3.2.3 Regardless of who initiates a document, the responsibility to review, approve and issue the document rests with defined personnel responsible for document control within the pilot program and/or division.*

*5.3.2.4 The Commander reviews and approves the Division Quality Manual. Distribution is made by the DISOPM or designee*

*5.3.2.5 The DISOPM or designee is responsible to review, approve and issue the Division Quality Procedures and their revisions.*

5.3.2.6 For *Pilot Program (PP) Quality Procedures*, the PPDH or designee is responsible to review, approve, and issue the document or revision.

5.3.3 Issue

5.3.3.1 A document is considered to be formally issued when an authorized approval signature is placed on it *and it is dated*.

5.3.3.2 Prior to issue of a document or revision at the Division level the DISOPM or designee reviews and approves for adequacy, correctness, and conformance with the quality policies.

5.3.3.3 Prior to issue of a document or revision at the PP level, the PPDH or designee reviews and approves for adequacy, correctness, and conformance with the quality policies.

5.3.3.4 Only the first page of the Quality Manual and the first page of a procedure is required to have a signature in the header. The additional pages of the document are considered reviewed and approved based on the signature.

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5.3.3.5 Date on each page identifies effective date of issue. Revisions that are significant will be made evident in the body of text by using bold italics for the text changed, change bars, revision history pages, or other equivalent means.

5.3.4 Distribution

5.3.4.1 The DISOPM or designee is responsible for control and distribution for Tier I and II documentation, and will maintain the Division master list.

5.3.4.2 The PPDH or designee is responsible for control and distribution of associated Tier III and IV documentation and master list. Tier III and IV master list ***and controlled copies of Tier III and IV documentation*** will be provided to the DISOPM.

5.3.4.3 All PPDH's or designees have the authority to sub-issue Tier I and II documents within their PP's. They will maintain a distribution list.

5.3.4.4 Tier V documents will be controlled at applicable PP's.

5.3.5 ***Changes***

5.3.5.1 ***The nature of changes in a document are identified where practical. This may be done with bold italics, attachments or as defined by the Pilot Programs.***

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**5.3.6** Documentation For Control And Approval Of The Following Tiers:

**5.3.6.1** Tier I, Division Quality Manual, and Tier II Division Quality Procedures.

**5.3.6.1.1** The Division ISO *Program Manager* or designee is responsible for:

- *Issue of Tier I Division Quality Manual*
- Approval and issue *of Tier II Division Quality Procedures*
- Distributing and recording of controlled copies on a controlled documents distribution master list. This does not include distribution of Quality Manual within the Pilot Program
- Approving or rejecting revisions requested through the Corrective Action System
- Updating, as necessary

**5.3.6.2** Tier III, Pilot Program *Quality* Procedures, and Tier IV Pilot Program Work Instructions.

**5.3.6.2.1** Tier III and Tier IV documents will be approved, issued, and controlled by the PPDH or designee of each Pilot Program.

**5.3.6.2.2** Master Lists of controlled documents will be maintained by each Pilot Program.

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5.3.6.3 Tier V, external documents, internal/external engineering drawings, specifications, etc., and other external/ internal documents.

5.3.6.3.1 Will be controlled to the greatest practicable extent at the Pilot Program level.

5.3.6.3.2 Pilot Program control will be dependent on the documents used and the extent of control required to minimize process problems.

5.3.6.3.3 Many of these documents are controlled by external Government agencies.

5.3.6.4 The owner or responsible individual may update procedures as needed and submit changes through the documented control process to update the system. A CAR may be written if needed to change the procedures.

#### 5.4 REFERENCES

*Division Quality Manual, Section 5.0, Document and Data Control*  
*Division Quality Manual, Section 16.0, Control of Quality Records*

#### 5.5 RECORDS

Master Lists  
Distribution Lists